

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	6160583
<b>Application Number:</b>	10753069
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	5428
<b>Title of Invention:</b>	Systems and methods for trading actively managed funds
<b>First Named Inventor/Applicant Name:</b>	Clifford J. Weber
<b>Customer Number:</b>	22930
<b>Filer:</b>	Michael Jay Stimson/Cathe Zinn
<b>Filer Authorized By:</b>	Michael Jay Stimson
<b>Attorney Docket Number:</b>	00322.0008.CPU501
<b>Receipt Date:</b>	28-SEP-2009
<b>Filing Date:</b>	08-JAN-2004
<b>Time Stamp:</b>	18:24:15
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	no
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Amendment After Final	AmendmentsAndResponse.pdf	1250731 af8d81bae91bf1328b57a8abe055f72562e853	no	26

### Warnings:

### Information:

2	Oath or Declaration filed	DallmerDeclaration.pdf	171509 7cfd6d23ee6d860005e483515e48561d8b48c23e1	no	5
Warnings:					
Information:					
3	Oath or Declaration filed	Exhibit2BakerDecl.pdf	219583 a0681349aa86c2024306427e4e6a3bc3e72a95	no	18
Warnings:					
Information:					
4	Oath or Declaration filed	Exhibit5BakerDecl.pdf	215431 d73db37bc0efb0bc123d3944869f6e317221750fcd4	no	3
Warnings:					
Information:					
5	Oath or Declaration filed	Exhibit6BakerDecl.pdf	3368324 307ed805e3e793ccc72000befe0be2cd1dbaf99	no	112
Warnings:					
Information:					
6	Oath or Declaration filed	Exhibit8BakerDecl.pdf	678468 512e6ba11a94e175e0f8209babe548f3db1994c	no	22
Warnings:					
Information:					
7	Oath or Declaration filed	BakerDeclaration.pdf	976087 09081179fec2e4dda1a195d83237d07c9844e74	no	14
Warnings:					
Information:					
8	Oath or Declaration filed	Exhibit1BakerDecl.pdf	117623 cba6e99404b7355ac83481be5a240ba0748d9	no	3
Warnings:					
Information:					
9	Oath or Declaration filed	Exhibit3BakerDecl.pdf	225830 3307124f1e1749b62d4d6a153a9128538948c59	no	4
Warnings:					
Information:					
10	Oath or Declaration filed	Exhibit4BakerDecl.pdf	172479 ea317d88c2073985d4284f8bc9d51e072c8a	no	3
Warnings:					
Information:					

11	Oath or Declaration filed	Exhibit7BakerDecl.pdf	278726 312d27456ab91531ca8ba65495ca6538ec58c25	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			7674791		
<p>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>          If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>          If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b>          If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p>					